

08/26/99
J0639 U.S. PTO

Please type a plus sign (+) inside this box → ☐

Approved for use through 09/30/00. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 98 P 5548

Total Pages

First Named Inventor or Application Identifier

Andreas HUBER, Franz FORSTER,
Peter NIEDERMEIER and Walter LIMMER

Express Mail Label No.

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form
(Submit an original, and a duplicate for fee processing)
2. ☒ Specification [Total Pages 10]
(preferred arrangement set forth below)
- Descriptive title of the invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the invention
 - Brief Summary of the invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
3. ☒ Drawing(s) (35 USC 113) [Total Sheets 3]
4. ☐ Oath or Declaration [Total Pages 1]
- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
(Note Box 5 below)
- i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting
inventor(s) named in the prior application,
see 37 CFR 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference (useable if Box 4b is checked)
The entire disclosure of the prior application, from which a
copy of the oath or declaration is supplied under Box 4b,
is considered as being part of the disclosure of the
accompanying application and is hereby incorporated by
reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
- a. ☐ Computer Readable Copy
- b. ☐ Paper Copy (identical to computer copy)
- c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. ☒ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
12. ☒ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
14. ☐ Small Entity Statement filed in prior application,
Statement(s) ☐ Status still proper and desired
15. ☒ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Other:

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: _____ / _____

18. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

or ☒ Correspondence address below

(Insert Customer No. or Attach bar code label here)

NAME

OSRAM-SYLVANIA Inc.

Att: Mr. Carlo S. BESSONE

ADDRESS

Intellectual Property Law Department

100 Endicott Street

CITY

Danvers

STATE

MA

ZIP CODE

01923

COUNTRY

US

TELEPHONE

(978)750-2076

FAX

(978)750-2045

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

<h2 style="margin: 0;">FEE TRANSMITTAL</h2> <p style="font-size: small; margin: 5px 0;">Note: Effective October 1, 1997. Patent fees are subject to annual revision.</p>	<p>Complete if Known</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td>Application Number</td><td></td></tr> <tr><td>Filing Date</td><td>26 August 1999</td></tr> <tr><td>First Named Inventor</td><td>HUBER et al.</td></tr> <tr><td>Group Art Unit</td><td></td></tr> <tr><td>Examiner Name</td><td></td></tr> <tr><td>Attorney Docket Number</td><td>98 P 5548</td></tr> </table>	Application Number		Filing Date	26 August 1999	First Named Inventor	HUBER et al.	Group Art Unit		Examiner Name		Attorney Docket Number	98 P 5548
Application Number													
Filing Date	26 August 1999												
First Named Inventor	HUBER et al.												
Group Art Unit													
Examiner Name													
Attorney Docket Number	98 P 5548												
TOTAL AMOUNT OF PAYMENT	(\$ 800.00)												

<p style="text-align: center;">METHOD OF PAYMENT (check one)</p> <p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:</p> <p>Deposit Account Number: 25-0120</p> <p>Deposit Account Name: YOUNG & THOMPSON</p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input type="checkbox"/> Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance</p> <p>2. <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other</p> <p style="text-align: center;">FEE CALCULATION</p> <p>1. FILING FEE</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>101 790</td><td>201 395</td><td>Utility filing fee</td><td>760</td></tr> <tr><td>106 330</td><td>206 165</td><td>Design filing fee</td><td></td></tr> <tr><td>107 540</td><td>207 270</td><td>Plant filing fee</td><td></td></tr> <tr><td>108 790</td><td>208 395</td><td>Reissue filing fee</td><td></td></tr> <tr><td>114 150</td><td>214 75</td><td>Provisional filing fee</td><td></td></tr> <tr> <td colspan="3" style="text-align: right;">SUBTOTAL (1)</td> <td>(\$ 760)</td> </tr> </tbody> </table> <p>2. CLAIMS</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Total Claims</th> <th>Extra</th> <th>Fee from below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>11 - 20 =</td> <td>0</td> <td>X</td> <td></td> </tr> <tr> <td>1 - 3 =</td> <td>0</td> <td>X</td> <td></td> </tr> <tr> <td>Multiple Dependent Claims</td> <td></td> <td>X</td> <td></td> </tr> </tbody> </table> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>103 22</td><td>203 11</td><td>Claims in excess of 20</td><td></td></tr> <tr><td>102 82</td><td>202 41</td><td>Independent claims in excess of 3</td><td></td></tr> <tr><td>104 270</td><td>204 135</td><td>Multiple dependent claim</td><td></td></tr> <tr><td>109 82</td><td>209 41</td><td>Reissue independent claims over original patent</td><td></td></tr> <tr><td>110 22</td><td>210 11</td><td>Reissue claims in excess of 20 and over original patent</td><td></td></tr> <tr> <td colspan="3" style="text-align: right;">SUBTOTAL (2)</td> <td>(\$ -0-)</td> </tr> </tbody> </table>	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	101 790	201 395	Utility filing fee	760	106 330	206 165	Design filing fee		107 540	207 270	Plant filing fee		108 790	208 395	Reissue filing fee		114 150	214 75	Provisional filing fee		SUBTOTAL (1)			(\$ 760)	Total Claims	Extra	Fee from below	Fee Paid	11 - 20 =	0	X		1 - 3 =	0	X		Multiple Dependent Claims		X		Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	103 22	203 11	Claims in excess of 20		102 82	202 41	Independent claims in excess of 3		104 270	204 135	Multiple dependent claim		109 82	209 41	Reissue independent claims over original patent		110 22	210 11	Reissue claims in excess of 20 and over original patent		SUBTOTAL (2)			(\$ -0-)	<p>3. ADDITIONAL FEES</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105 130</td><td>205 65</td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127 50</td><td>227 25</td><td>Surcharge - late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>139 130</td><td>139 130</td><td>Non-English specification</td><td></td></tr> <tr><td>147 2,520</td><td>147 2,520</td><td>For filing a request for reexamination</td><td></td></tr> <tr><td>112 920*</td><td>112 920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113 1,840*</td><td>113 1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115 110</td><td>215 55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116 400</td><td>216 200</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117 950</td><td>217 475</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118 1,510</td><td>218 755</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128 2,060</td><td>228 1,030</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119 310</td><td>219 155</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120 310</td><td>220 155</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121 270</td><td>221 135</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138 1,510</td><td>138 1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140 110</td><td>240 55</td><td>Petition to revive - unavoidable</td><td></td></tr> <tr><td>141 1,320</td><td>241 660</td><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>142 1,320</td><td>242 660</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143 450</td><td>243 225</td><td>Design issue fee</td><td></td></tr> <tr><td>144 670</td><td>244 335</td><td>Plant issue fee</td><td></td></tr> <tr><td>122 130</td><td>122 130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123 50</td><td>123 50</td><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>126 240</td><td>126 240</td><td>Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>581 40</td><td>581 40</td><td>Recording each patent assignment per property (times number of properties)</td><td>40.00</td></tr> <tr><td>146 790</td><td>246 395</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td></td></tr> <tr><td>149 790</td><td>249 395</td><td>For each additional invention to be examined (37 CFR 1.129(b))</td><td></td></tr> <tr><td colspan="3">Other fee (specify) _____</td><td></td></tr> <tr><td colspan="3">Other fee (specify) _____</td><td></td></tr> <tr> <td colspan="3" style="text-align: right;">SUBTOTAL (3)</td> <td>(\$ 40.00)</td> </tr> </tbody> </table> <p style="text-align: right;">Reduced by Basic Filing Fee Paid</p>	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	105 130	205 65	Surcharge - late filing fee or oath		127 50	227 25	Surcharge - late provisional filing fee or cover sheet		139 130	139 130	Non-English specification		147 2,520	147 2,520	For filing a request for reexamination		112 920*	112 920*	Requesting publication of SIR prior to Examiner action		113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action		115 110	215 55	Extension for reply within first month		116 400	216 200	Extension for reply within second month		117 950	217 475	Extension for reply within third month		118 1,510	218 755	Extension for reply within fourth month		128 2,060	228 1,030	Extension for reply within fifth month		119 310	219 155	Notice of Appeal		120 310	220 155	Filing a brief in support of an appeal		121 270	221 135	Request for oral hearing		138 1,510	138 1,510	Petition to institute a public use proceeding		140 110	240 55	Petition to revive - unavoidable		141 1,320	241 660	Petition to revive - unintentional		142 1,320	242 660	Utility issue fee (or reissue)		143 450	243 225	Design issue fee		144 670	244 335	Plant issue fee		122 130	122 130	Petitions to the Commissioner		123 50	123 50	Petitions related to provisional applications		126 240	126 240	Submission of Information Disclosure Stmt		581 40	581 40	Recording each patent assignment per property (times number of properties)	40.00	146 790	246 395	Filing a submission after final rejection (37 CFR 1.129(a))		149 790	249 395	For each additional invention to be examined (37 CFR 1.129(b))		Other fee (specify) _____				Other fee (specify) _____				SUBTOTAL (3)			(\$ 40.00)
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid																																																																																																																																																																																														
101 790	201 395	Utility filing fee	760																																																																																																																																																																																														
106 330	206 165	Design filing fee																																																																																																																																																																																															
107 540	207 270	Plant filing fee																																																																																																																																																																																															
108 790	208 395	Reissue filing fee																																																																																																																																																																																															
114 150	214 75	Provisional filing fee																																																																																																																																																																																															
SUBTOTAL (1)			(\$ 760)																																																																																																																																																																																														
Total Claims	Extra	Fee from below	Fee Paid																																																																																																																																																																																														
11 - 20 =	0	X																																																																																																																																																																																															
1 - 3 =	0	X																																																																																																																																																																																															
Multiple Dependent Claims		X																																																																																																																																																																																															
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid																																																																																																																																																																																														
103 22	203 11	Claims in excess of 20																																																																																																																																																																																															
102 82	202 41	Independent claims in excess of 3																																																																																																																																																																																															
104 270	204 135	Multiple dependent claim																																																																																																																																																																																															
109 82	209 41	Reissue independent claims over original patent																																																																																																																																																																																															
110 22	210 11	Reissue claims in excess of 20 and over original patent																																																																																																																																																																																															
SUBTOTAL (2)			(\$ -0-)																																																																																																																																																																																														
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid																																																																																																																																																																																														
105 130	205 65	Surcharge - late filing fee or oath																																																																																																																																																																																															
127 50	227 25	Surcharge - late provisional filing fee or cover sheet																																																																																																																																																																																															
139 130	139 130	Non-English specification																																																																																																																																																																																															
147 2,520	147 2,520	For filing a request for reexamination																																																																																																																																																																																															
112 920*	112 920*	Requesting publication of SIR prior to Examiner action																																																																																																																																																																																															
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action																																																																																																																																																																																															
115 110	215 55	Extension for reply within first month																																																																																																																																																																																															
116 400	216 200	Extension for reply within second month																																																																																																																																																																																															
117 950	217 475	Extension for reply within third month																																																																																																																																																																																															
118 1,510	218 755	Extension for reply within fourth month																																																																																																																																																																																															
128 2,060	228 1,030	Extension for reply within fifth month																																																																																																																																																																																															
119 310	219 155	Notice of Appeal																																																																																																																																																																																															
120 310	220 155	Filing a brief in support of an appeal																																																																																																																																																																																															
121 270	221 135	Request for oral hearing																																																																																																																																																																																															
138 1,510	138 1,510	Petition to institute a public use proceeding																																																																																																																																																																																															
140 110	240 55	Petition to revive - unavoidable																																																																																																																																																																																															
141 1,320	241 660	Petition to revive - unintentional																																																																																																																																																																																															
142 1,320	242 660	Utility issue fee (or reissue)																																																																																																																																																																																															
143 450	243 225	Design issue fee																																																																																																																																																																																															
144 670	244 335	Plant issue fee																																																																																																																																																																																															
122 130	122 130	Petitions to the Commissioner																																																																																																																																																																																															
123 50	123 50	Petitions related to provisional applications																																																																																																																																																																																															
126 240	126 240	Submission of Information Disclosure Stmt																																																																																																																																																																																															
581 40	581 40	Recording each patent assignment per property (times number of properties)	40.00																																																																																																																																																																																														
146 790	246 395	Filing a submission after final rejection (37 CFR 1.129(a))																																																																																																																																																																																															
149 790	249 395	For each additional invention to be examined (37 CFR 1.129(b))																																																																																																																																																																																															
Other fee (specify) _____																																																																																																																																																																																																	
Other fee (specify) _____																																																																																																																																																																																																	
SUBTOTAL (3)			(\$ 40.00)																																																																																																																																																																																														

SUBMITTED BY		Complete (if applicable)	
Typed or Printed Name	Robert F. Hargest	Reg. Number	25,590
Signature		Date	26.08.99
		Deposit Account User ID	000466